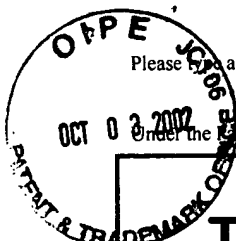


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PTO/SB/21 (6/98)  
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<b>TRANSMITTAL FORM</b>  (To be used for all correspondence after initial filing)	Application No.	09/944,832
	Filing Date	August 31, 2001
	First Named Inventor	Jacobs
	Group Art Unit	2185
	Examiner Name	
Total Number of Pages in this Submission:	Attorney Docket No.	OR01-03301

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ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavit/Declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts Notice/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers for an application <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney by Assignee, with Revocation of Former Powers <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After-Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s): <input checked="" type="checkbox"/> Return Receipt Postcard <input type="checkbox"/> Check for \$ _____ <input checked="" type="checkbox"/> Copies of 4 references disclosed on sub. form 1449A/P.T.O.
Remarks:  22200 PATENT TRADEMARK OFFICE		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT			
Name	Daniel E. Vaughan (Registration No. 42,199)	Date	October 3, 2002
Signature		Telephone	650/474-1973
Address	702 Marshall Street, Suite 310, Redwood City, CA 94063	Facsimile	650/474-1976

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the U. S. Postal Service as <input checked="" type="checkbox"/> Express Mail (No. EV 125 788 153 US) or <input type="checkbox"/> First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: October 3, 2002			
Type or Printed Name	Daniel E. Vaughan	Signature	

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Attorney Docket No.: OR01-03301

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Jacobs, *et al.*  
Application No. : 09/944,832  
Filed : August 31, 2001  
Docket : OR01-03301  
Title : Self-Adaptive Hybrid Cache  
  
Group/Art Unit : 2185  
Examiner :

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.56 and 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed below and/or on an attached form PTO/SB/08A is information known to applicant(s), which is hereby submitted pursuant to 37 C.F.R. § 1.56. The right is reserved to antedate any included publication or patent in accordance with standard procedure.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56.

  X   (New Application)      Copies of each listed publication and U.S. and foreign patent, except for pending U.S. applications, are submitted herewith, along with a concise explanation of information in a foreign language (if any).

       (Continuation Application)      The listed references were cited by the Applicant(s) or Examiner in the parent application, U.S. Serial No. \_\_\_\_\_, filed on \_\_\_\_\_. Pursuant to 37 C.F.R. § 1.98(d), copies of these items are not enclosed but may be found in the file history of the parent application.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the application identified above. If form PTO/SB/08A is attached, the Examiner is requested to initial and return it in accordance with MPEP § 609.



37 C.F.R. § 1.97(b). No fee is believed due, because (check all that apply):



(1) It is being filed within 3 months of the application filing date; OR



(2) It is being filed within 3 months of entry of a national stage; OR



(3) It is being filed before the mailing date of the first Office Action on the merits.



37 C.F.R. § 1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in § 1.491 in an international application; or (3) the mailing date of a first office action on the merits, but before the mailing date of the earlier of a final office action under § 1.113 or a notice of allowance under § 1.311, then:



a certification as specified in 37 C.F.R. § 1.97(e) is provided below; or



a fee of \$180.00 as set forth in 37 C.F.R. § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.



37 C.F.R. § 1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under § 1.113 or a notice of allowance under § 1.311, but before payment of the issue fee, then:



a certification as specified in § 1.97(e) is completed below; and



a petition under 37 C.F.R. § 1.97(d) requesting consideration of this statement is submitted herewith; and



a fee of \$130.00 as set forth in § 1.17(i) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.



Statement under 37 C.F.R. § 1.97(e). I hereby certify that either: each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the information disclosure statement; or no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in section 1.56(c) more than three months prior to the filing of the information disclosure statement:

Signature: \_\_\_\_\_

Daniel E. Vaughan (Reg. No. 42,199)

Date: \_\_\_\_\_

Respectfully submitted,

Date: October 3, 2002

By: \_\_\_\_\_

Daniel E. Vaughan (Reg. No. 42,199)

PARK, VAUGHAN & FLEMING LLP  
702 Marshall Street, Suite 310  
Redwood City, CA 94063  
Telephone: (650) 474-1973  
Facsimile: (650) 474-1976

Substitute for form 1449A/PTO

(Use as many sheets as necessary)

Sheet	1	of	2
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<b>Application Number</b>	09/944,832
<b>Filing Date</b>	August 31, 2001
<b>First Named Inventor</b>	Jacobs
<b>Group Art Unit</b>	2185
<b>Examiner Name</b>	
<b>Attorney Docket No.</b>	OR01-03301

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Examiner Signature		Date Considered	
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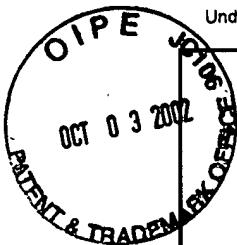
<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

### Complete if Known

Application Number	09/944,832
Filing Date	August 31, 2001
First Named Inventor	Jacobs
Group Art Unit	2185
Examiner Name	
Attorney Docket No.	OR01-03301

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		WESSELS, et al., ICP and the Squid Web Cache, pages 1-25. August 13, 1997	
		WESSELS, et al., Internet Cache Protocol (ICP), version 2, pages 1-9. National Laboratory for Applied Network Research/UCSD, September 1997	
		KAWAI, et al., A Quantitative Analysis of ICP Queries at the Distributed WWW Caching System. <a href="http://www.isoc.org/isoc/conferences/inet/99/proceedings/4n/4n.2.htm">www.isoc.org/isoc/conferences/inet/99/proceedings/4n/4n.2.htm</a> , August 14, 2002	
		KANTOR, et al., Network News Transfer Protocol: A Proposed Standard for the Stream-Based Transmission of News, pages 1-27. February 1986	

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